



Attorney Docket No. SON-2552/KOI

*B*  
*image*

In re patent application of

Noriaki NISHI

Serial No. 09/914,350

Filed: December 21, 2001

Title: OPTICAL PICKUP DEVICE THAT  
CORRECTS THE SPOT SHAPE OF  
REFLECTED LIGHT BEAM

Confirmation No. 3695

Group Art Unit: 2655

Examiner: Gautam Patel

**REQUEST FOR INITIALED AND DATED PTO/SB/08A FORMS**  
**FILED WITH IDS FILED AUGUST 27, 2001,**  
**DECEMBER 19, 2002, AND APRIL 10, 2003**

**Mail Stop Issue Fee**

Commissioner for Patents  
Alexandria, VA 22313

Sir:

A Notice of Allowance was issued by the PTO on April 6, 2005 in connection with the above-identified application. Upon our review of the file before payment of the issue fee, it was noted that the initialed PTO/SB/08A forms which accompanied the Information Disclosure Statements filed on August 27, 2001, December 19, 2002, and April 10, 2003 had not been returned. Applicant respectfully requests that initialed copies of the PTO/SB/08A Forms be sent as soon as possible to evidence consideration of the references by the Examiner. For the convenience of the Examiner, a copy of the Information Disclosure Statements with the attached PTO/SB/08A form, as filed, is enclosed, together with individual proofs of filing.

Respectfully submitted,

*Ronald P. Kananen* 47,255 (Brian Dutton)

Date: April 18, 2005

Ronald P. Kananen  
Reg. No. 24,104

**Rader, Fishman & Grauer PLLC**  
1233 20th Street, N.W., Suite 501  
Washington, D.C. 20036

8/27/00



SON-2552/KOI

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the U.S. Nationalization )  
Application of PCT/US00/09327 )  
Noriaki NISHI ) Attn: Application Branch  
Serial No. UNASSIGNED )  
Filed: August 27, 2001 )  
For: OPTICAL HEAD, LIGHT )  
RECEIVING/EMITTING DEVICE )  
AND OPTICAL RECORDING AND/OR )  
REPRODUCING APPARATUS )

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

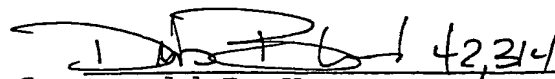
In accordance with the requirements of 37 CFR §§ 1.56 and 609, applicant through his attorneys and representatives, hereby brings to the attention of the Examiner the references noted on the attached Form PTO-1449, copies of which are enclosed.

The references are cited in the International Search Report of applicant's corresponding PCT Application No. PCT/JP00/09327. An English language version of the International Search Report is also enclosed.

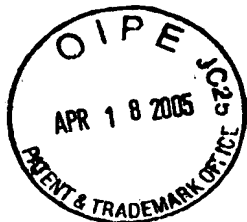
It is requested that the Examiner review the references noted and make such consideration of record.

Respectfully submitted,

Dated: August 27, 2001

  
Ronald P. Kananen  
Reg. No. 24,104

Rader, Fishman & Grauer PLLC  
1233 20<sup>th</sup> Street  
Washington, D.C. 20036  
Telephone: (202) 955-3750  
Facsimile: (202) 955-3751  
Customer No. 23353



OMB No. 0651-0011 (12/31/86)

PAGE 1 OF 1

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Atty. Docket No.  SON-2552/KOI		Serial No.  To Be Assigned	
				Applicant Noriaki NISHI			
				Filing Date August 27, 2001		Group To Be Assigned	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
<b>FOREIGN PATENT DOCUMENTS</b>							
		Document Number	Date	Country	Class	Subclass	Translation Yes No
		10-124923	05/15/98	JP			X
		11-134677	05/21/99	JP			X
		05-258339	10/08/93	JP			X
		11-25502	01/29/99	JP			X
		60-229007	11/14/85	JP			X
		1-179235	07/17/89	JP			X
		64-78442	03/23/89	JP			X
		1-258240	10/16/89	JP			X
		2001-76359	03/23/01	JP			X
		2001-93167	04/06/01	JP			X
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Page, Etc.)</b>							
		International Search Report					
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			
<b>*Examiner:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

Serial No. 09/914,350 Filed: 8/27/01 Attorney: RPK/STJ  
Applicant: Nishi Docket No.: 800-2552/KOF Date Mailed: 12/19/02  
Title: Optical Head, Light Receiving ☒ Courier ☐ First Class Mail ☐ Express Mail No.  
The following was/were received in the U.S. Patent & Trademark Office Mail Room on the date stamped hereon:

Filing Form for Application\*  
(in duplicate if charging deposit account).

☐ Originating in the U.S.  
☐ National Phase under Chapter I  
☐ National Phase under Chapter II

Filing Form for Application\*

(in duplicate if charging deposit account).

☐ Provisional Application under 37 CFR 1.53(c)  
☐ Regular Application under 37 CFR 1.53 (b)  
☐ CPA Application under 37 CFR 1.53 (d)  
☐ Continuation Application under 37 CFR 1.53 (b)  
☐ Divisional Application under 37 CFR 1.53 (b)  
☐ Cont. In Part Application under 37 CFR 1.53 (b)  
☐ Design  
☐ RCE  
☐ Other \_\_\_\_\_

\*Patent Application including:

☐ Pages Specification  
☐ Pages Claims (Claims 1 through \_\_\_\_\_)  
☐ Pages Abstract  
☐ Sheets of Drawings (Fig. 1 through \_\_\_\_\_)

Declaration/Power of Attorney (\_\_\_\_\_ pages)

Verified Stmt-Small Entity Status

Executed Power of Attorney

☐ Priority Document(s) No. \_\_\_\_\_ & cover sheet

☐ Assignment(s) & cover sheet

☐ Request to Approve Drawing Change.

Request for Corrected Filing Receipt

Completion of Filing Requirements

Request for Certificate of Correction

Request for Non-Publication

Request for Notice of Filing Cont./Div.

Request to Extend Patent Terms

Transmittal for Amendment (Response)

Petition for \_\_\_\_\_ Mo. Extension of Time

(in duplicate if charging deposit account)

Amendment (Response)

Preliminary Amendment (Response)

Response to Election Restriction Requirement

Information Disclosure Statement, with

Form(s) PTO-1449 (\_\_\_\_\_ sheets) and

copies of references

☐ Affidavit or ☐ Declaration under

37 CFR \_\_\_\_\_ §1.131 \_\_\_\_\_ §1.132

Notice of Appeal

Petition \_\_\_\_\_

Status Inquiry

Issue Fee Transmittal

☐ Separate post card(s)

Deposit Account Charges \_\_\_\_\_

Other: \_\_\_\_\_

or Sh

Serial No. 09/914,350 Filed: 8/27/01 Attorney: RPK/STJ  
Applicant: Nishi Docket No.: 800-2552/KOF Date Mailed: 12/19/02  
Title: Optical Head, Light Receiving ☒ Courier ☐ First Class Mail ☐ Express Mail No.  
The following was/were received in the U.S. Patent & Trademark Office Mail Room on the date stamped hereon:

Filing Form for Application\*

(in duplicate if charging deposit account).

☐ Originating in the U.S.  
☐ National Phase under Chapter I  
☐ National Phase under Chapter II

Filing Form for Application\*

(in duplicate if charging deposit account).

☐ Provisional Application under 37 CFR 1.53(c)  
☐ Regular Application under 37 CFR 1.53 (b)  
☐ CPA Application under 37 CFR 1.53 (d)  
☐ Continuation Application under 37 CFR 1.53 (b)  
☐ Divisional Application under 37 CFR 1.53 (b)  
☐ Cont. In Part Application under 37 CFR 1.53 (b)  
☐ Design  
☐ RCE  
☐ Other \_\_\_\_\_

\*Patent Application including:

☐ Pages Specification  
☐ Pages Claims (Claims 1 through \_\_\_\_\_)  
☐ Pages Abstract  
☐ Sheets of Drawings (Fig. 1 through \_\_\_\_\_)

Declaration/Power of Attorney (\_\_\_\_\_ pages)

Verified Stmt-Small Entity Status

Executed Power of Attorney

☐ Priority Document(s) No. \_\_\_\_\_ & cover sheet

☐ Assignment(s) & cover sheet

☐ Request to Approve Drawing Change.

with \_\_\_\_\_ Sheets of Red-Line Drawings

☐ Sheets Formal Drwgs w/Cover Sheet

☐ Request for Refund

Request for Corrected Filing Receipt

Completion of Filing Requirements

Request for Certificate of Correction

Request for Non-Publication

Request for Notice of Filing Cont./Div.

Request to Extend Patent Terms

Transmittal for Amendment (Response)

Petition for \_\_\_\_\_ Mo. Extension of Time

(in duplicate if charging deposit account)

Amendment (Response)

Preliminary Amendment (Response)

Response to Election Restriction Requirement

Information Disclosure Statement, with

Form(s) PTO-1449 (\_\_\_\_\_ sheets) and

copies of references

☐ Affidavit or ☐ Declaration under

37 CFR \_\_\_\_\_ §1.131 \_\_\_\_\_ §1.132

Notice of Appeal

Petition \_\_\_\_\_

Status Inquiry

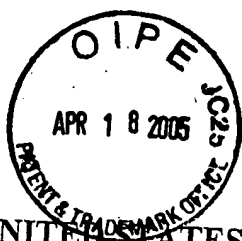
Issue Fee Transmittal

☐ Separate post card(s)

Deposit Account Charges \_\_\_\_\_

Other: \_\_\_\_\_

SON-2552/KOI



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Patent Application of

Noriaki NISHI

Application No. 09/914,350

Filed: August 27, 2001

For: OPTICAL HEAD, LIGHT RECEIVING EMITTING DEVICE AND OPTICAL  
RECORDING AND/OR REPRODUCING APPARATUS

Examiner: *To Be Assigned*

Group Art Unit: 2651

**SECOND INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231 .

Sir:

The Applicant, through its representatives and attorneys, hereby brings to the attention of the Examiner the two additional documents noted on the Accompanying Form PTO-1449. Copies are provided.

This will certify that each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. Specifically, these documents were noted in a Supplementary Search Report (SSR) issued in connection with the Applicant's corresponding European application. While the date of the SSR itself is not before the undersigned, as noted from a copy of the report itself, the search leading to the report was completed on November 4, 2002. This submission is also timely in that it is presented prior to the first Action on the merits of this application.

A copy of the Search Report is provided for the convenience of the Examiner.

Please take these additional documents into account, in addition to the documents noted in the IDS accompanying filing, and the information provided on pages 1 to 6 in the

SON-2552/KOI

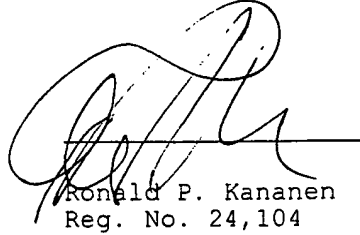
specification as filed.

Early Action on the merits of this application is solicited.

Respectfully submitted,

Dated:

12/19/02



Ronald P. Kananen  
Reg. No. 24,104

Rader, Fishman & Grauer PLLC  
1233 20<sup>th</sup> Street, N.W.  
Washington, D.C. 20036  
Telephone: (202) 955-3750  
Facsimile: (202) 955-3751

Customer No. 23353

**Form PTO-FB-A820**  
**(also form PTO-1449)**

DC043795